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Page 1 of 1

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
028,943	12/21/2001	Kevin W. Shirk	2107-12

*O P E FEB 22 2002*  
PATENT & TRADEMARK OFFICE  
Pacific Law Group, LLP  
Wildflower Way  
Cupertino, CA 95014

CONFIRMATION NO. 3831

FORMALITIES LETTER



\*OC000000007382021\*

Date Mailed: 01/29/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 435.**

*+ \$ 40      assignment fee  
total \$475.00*

*A copy of this notice **MUST** be returned with the reply.*

*HB*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

02/28/2002 NM0HMM1 00000064 10028943

01 FC:201  
02 FC:205

370.00 0P  
65.00 0P



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application(s):

Title: Kevin W. Shirk  
Method for Designing Polarization Maintaining Couplers  
Serial No.: 10/028,943  
Filing Date: 12/21/2001  
Examiner: Unknown  
Group Art Unit: 2874  
Docket No.: 2107-12

February 11, 2002

Commissioner of Patents and Trademarks  
Box Missing Parts  
Washington, DC 20231

Re: Response to Notice to File Missing Parts of Application  
*Filing Date Granted*

Dear Sir:

In response to the "Notice To Missing parts of Application – Filing Date Granted" mailed by the United States Patent and Trademark Office on 1/29/02, the following documents are enclosed to complete the filing of the above-identified patent application:

1. A Declaration signed by the inventors in compliance with 37 CFR 1.63;
2. Copy of Notice To Missing parts of Application – Filing Date Granted;
3. A check of \$475.00 payable to US Patent and Trademark Office;  
(including \$40 for assignment recordation)
4. A Fee Transmittal;
5. A Non-publication request; and
6. A Stamped and Self-addressed postcard.

It is hereby respectfully submitted that the enclosed documents complete the filing of the above patent application and justify the US filing date of December 21, 2002. The applicant believes that \$475.00 enclosed herewith is the only fee to be

due in responding to this Notice. Please telephone the undersigned at (408)777-8873, if there are any questions.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to "Commissioner of Patents and Trademarks, Washington, DC 20231", on February 11, 2002.

Name: Joe Zheng

Signature: 

Respectfully submitted;



Joe Zheng

Reg.: No. 39,450

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PTO/SB/17 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** **(\$)** **475.00**

*Complete if Known*

Application Number	10/028,943		
Filing Date	12/1/2001		
First Named Inventor	Kevin W. Shirk		
Examiner Name			
Group Art Unit	2874		
Attorney Docket No.	2107-12		

**METHOD OF PAYMENT** (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  
 Deposit Account Number   
 Deposit Account Name   
 Charge Any Additional Fee Required  
 Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status.  
 See 37 CFR 1.27

2.  **Payment Enclosed:**  
 Check  Credit card  Money Order  Other

**FEE CALCULATION** (continued)

**3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
105	130	205 65 Surcharge - late filing fee or oath	\$65
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	390	216 195 Extension for reply within second month	
117	890	217 445 Extension for reply within third month	
118	1,390	218 695 Extension for reply within fourth month	
128	1,890	228 945 Extension for reply within fifth month	
119	310	219 155 Notice of Appeal	
120	310	220 155 Filing a brief in support of an appeal	
121	270	221 135 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,240	241 620 Petition to revive - unintentional	
142	1,240	242 620 Utility issue fee (or reissue)	
143	440	243 220 Design issue fee	
144	600	244 300 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Petitions related to provisional applications	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	710	246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279 355 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify) _____			
Reduced by Basic Filing Fee Paid			<b>SUBTOTAL (3) (\$)</b> <b>105</b>

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Jo Zheng	Registration No. (Attorney/Agent)	39,450	Telephone <b>408-777-8873</b>
Signature		Date	2/11/2002	

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.